

**PBDD**

Partnership &  
Business  
Development  
Division



## **Comparative Analysis of Partnership Case Studies**

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## 1 INTRODUCTION

In December 2007 PBDD presented to the Senior Management Committee (SMC) a document entitled *Partnering by Design* that summarized the why, how, when, with whom and under what conditions IDRC collaborates with other research funders. The document was very well received and, with a view to learning from IDRC's experience in developing and managing large partnerships, SMC requested PBDD to prepare case studies that would illustrate *what works* and *what doesn't work*. To respond to that request, in March PBDD elaborated a proposal and consulted with management and others, and the study and interviews were launched at the end of March.

### **Objective**

The objective of this report is to present a comparison of findings from six case studies conducted among large IDRC partnerships with various donors, in different regions and based on themes that reflect the diversity of IDRC's Programming Areas. Each of the case studies explored a series of factors that influence partnership effectiveness. This comparison seeks to strengthen IDRC's knowledge base on donor partnering

### **Scope of the Study**

The assumption implicit in this study is that that an effective or successful partnership is sustained and contributes to achieving the programmatic objectives that underpin collaboration<sup>1</sup>. It is important to note that there are several elements that contribute to partnership effectiveness and to the achievement of programmatic objectives that will not be examined in this study, such as program / project management and the skill sets and expertise of staff.

Any form of assessment and/or evaluation at the program level lie beyond the scope of this undertaking, which does not aim to prescribe but rather explore specific issues linked to partnership effectiveness. It is clear then that our focus here is on relationship issues among donors and members of governing bodies and will not cover programming and achievements beyond their linkage to this focus.

Finally, readers of the report should be aware that all findings derived from personal interviews came only from IDRC staff. While the study focuses on partnership, it only includes data from IDRC at this time in order to promote internal discussion and

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<sup>1</sup> Catley-Carlson, Margaret. Foundations of Partnerships: A Practitioner's Perspective. From Evaluation and Development: The Partnership Dimension. Volume 6: World Bank Series on Environment and Development. Editors: Liebenthal, Andres; Osvaldo Feinstein and Gregory Ingram. Washington: World Bank, 2004.

corporate learning. A second phase of research may be undertaken at a later time to include interviews with partner organizations.

### Structure of document

The introduction to this report is followed by a description of the methodology used as well as the findings on the factors and stages that influence partnership effectiveness. A number of annexes can be found at the end of the document.

### Acknowledgements

The authors would like to thank all those who contributed their time and expertise and who shared their opinions openly with the researchers.

## 2 METHODOLOGY

### *Case Study Selection*

Six projects and programs were selected with a view to striking a balance among donor type (i.e. bilateral, multilateral, foundation, private sector), program area, and geographic location.

**Table 1: Projects/ Programs Included in PBDD Case Study Research**

<b>Project / Program</b>	<b>Donor &amp; Donor Type</b>	<b>Program Area</b>	<b>Region</b>
1. Climate Change Adaptation for Africa (CCAA)	<b>Bilateral:</b> Department for International Development (DFID)	ENRM	Africa
2. Global Health Research Initiative (GHRI)	<b>Canadian Group:</b> Canadian International Development Agency (CIDA), Canadian Institutes for Health Research (CIHR) and Health Canada (HC)	SEP	Global
3. Telecentre.org	<b>Private Sector:</b> Microsoft, <b>Bilateral:</b> Swiss Development Corporation (SDC)	ICT4D	Global
4. Communicable Diseases in Latin America and the Caribbean (CD in LAC)	<b>Foundation:</b> Gates Foundation <b>Multilateral:</b> Panamerican Health Organization (PAHO), Interamerican Development Bank (IDB), Organization of American States (OAS)	ENRM	LAC
5. KariaNet	<b>Multilateral:</b> International Fund for Agricultural Development (IFAD)	ICT4D	MENA
6. Environmental Economics Program in South East Asia (EEPSEA)	<b>Bilateral:</b> CIDA, Swedish International Development Agency (SIDA)	SEP – ENRM	Asia

### *Research Methods*

In order to carry out the case study research, a total of 128 key documents were reviewed and interviews were held with 45 former or current IDRC staff members from Program Initiatives, the Partnership and Business Development Division, the Grants Administration Division (GAD), the Financial Administration Division (FAD), Regional Offices, the Evaluation Unit (EU), the Office of the Secretary and General Counsel (OSGC), the Policy and Planning Group (PPG), and the Communication Division.

This generated a critical mass of information on each partnership. Six draft **case study documents** were prepared and were reviewed by all interview participants to cross check for accuracy, clarify, fill gaps, receive general comments and finalize the documents. In addition, **short summaries** of each of the case studies were prepared. Based on the information obtained from the case study research, a **cross-case comparison**, presented in this document, was prepared to distil learning on the factors that influence partnership effectiveness and on lessons learned. How were cases selected and why? How was information organized and how was it analyzed? The following brief section attempts to address these key questions.

### *Case Study Selection*

### *Organizing Information: Factors and Stages*

A preliminary **review of literature** from the field of collaboration was conducted along with discussions within PBDD to develop a draft conceptual framework to gather targeted information from each case.

The framework adopted was two-dimensional, looking at:

- a) the factors that influence partnership effectiveness, and
- b) the temporal nuances to understand when each factor came into play, in terms of the stages of IDRC's Partnering Model (please see Annexes 1 and 2).

#### *a) Factors Affecting Partnership Effectiveness*

Based on a review of the partnership literature, IDRC's previous experience and the PBDD Partnering by Design Study, the following factors were identified:

- **Partnership roots:** the degree to which aspects of the external environment and internal organizational environments, partners' reputation and experience in the field and previous collaboration influenced the partnership;
- **Complementarity:** the degree of consistency among partners' vision, approaches and implementation approaches. This includes the level of program fit, which is a principle stated in the Partnering by Design document;

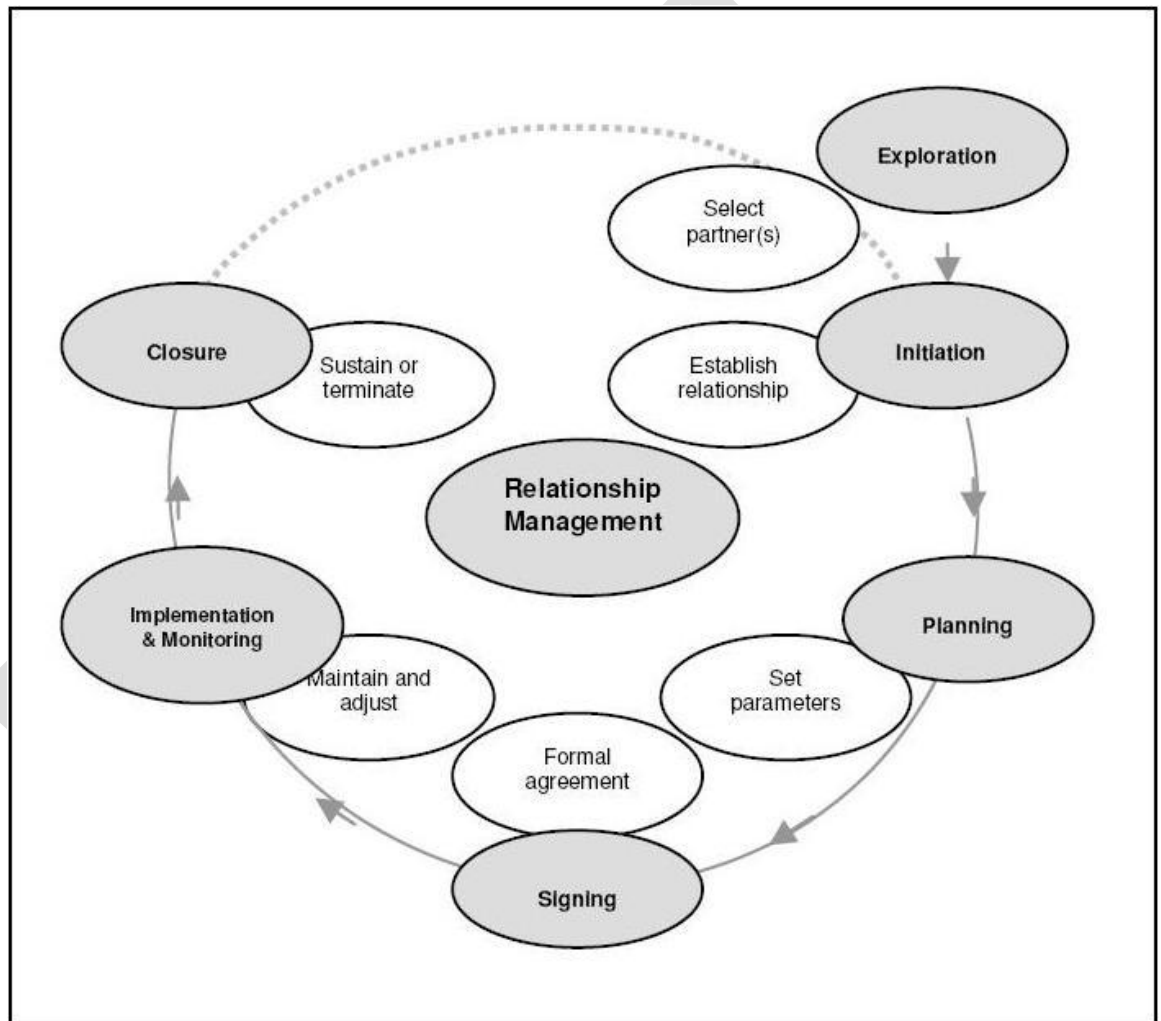
- **Level of commitment:** demonstrated by the involvement of senior staff from each partner; the extent of preparation for and engagement in meetings; the existence of champions who spearheaded the initiative, etc;
- **Equal footing:** the degree to which partners maintain an equal position or standing in relation to other partners with no one partner dominating;
- **Risk identification and management:** identification, assessment and mitigation of risk; ongoing risk management and monitoring;
- **Communication:** channels established by collaborative partners to send and receive information; and the extent of information flow;
- **Terms of engagement:** establishment, either formally or informally, of protocol, in other words, the definition of roles and responsibilities, procedures, and terms of reference to guide the implementation of the partnership;
- **Governance and decision-making:** Bodies established to structure and guide the substantive focus of the partnership; decision-making processes.

#### *b) Stages of the Partnering Model*

The Partnering by Design Model identified the following stages of partnership development:

- **Exploration:** The Partnering Model suggests that this is where opportunities for collaboration are identified, potential partners are qualified, risks are identified and assessed, and a decision to work with one or more partners is made.
- **Initiation:** At this stage, partners usually develop their working relationship by agreeing on goals, scope and core principles that will provide the basis for their activities. A concept note, feasibility study or terms of reference is developed.
- **Planning:** During the planning phase, partners typically agree on the parameters of their collaboration and design a detailed program of work. At this stage the full project/program proposal is elaborated, including information on the governance and decision-making structure.
- **Signing:** At this stage, negotiations are concluded and parties sign a formal agreement - most often times a contribution agreement.
- **Implementation and Monitoring:** During execution, the various plans are implemented, monitored and adjusted to ensure that the objectives are met. Some form of „stock-taking’ of the partnership should also occur.

**Figure 1:** Stages of Partnering Model



### ***Analyzing Collected Data***

A significant amount of descriptive information was collected from each case. In order to analyze effectiveness, three specific qualities were explored: *salience*, *endurance* and *pervasiveness*. Salience considered the relevance or strength of the factor to the functioning of the partnership; was it noticed, was it moderately influential, or did it seem to be very important? Endurance explored the length of time the factor seemed to exercise influence; this enabled the study to detect changing levels of salience over time. Finally, a factor was seen as pervasive when its influence seemed to override the influence of other factors, much the same as the idea of dominance. When these qualities produced positive influences on the partnership, the factor was considered to be effective.

## **3 FINDINGS ON FACTORS AFFECTING PARTNERSHIPS**

While it was generally recognized that the partnerships studied were leading to greater impact than could have been achieved by IDRC in isolation, the Centre could learn more about the added value of implementing programs in partnership and of the factors that influence partnership effectiveness. This is particularly important given that IDRC has been engaged in an increasingly large number of partnerships with other donors over the last few years. For most of the cases studied, “partnership effectiveness” was not evaluated regularly or formally. Specific issues that were negatively affecting partnerships were discussed for the cases analyzed on an ad-hoc basis, but were not usually a regular agenda items for partner meetings.

For two of the cases studied, formal program-level evaluations did or will examine issues related to the management of the partnership (i.e. the 2006 formal evaluation of the GHRI initiative and the ongoing CCAA Mid-Term Review), but generally, it is felt that insufficient emphasis is given to partnership evaluation and that it would be useful to evaluate partnership effectiveness to a greater extent.

In an effort to begin to address this lack of information on partnership effectiveness, the following sections present the findings on partnership effectiveness for each of the factors that were explored.

### **PARTNERSHIP ROOTS**

#### **4.1 Influence of Partnership Roots on Partnership Effectiveness**

During the pre-implementation stages (exploration, initiation, planning and signing), the roots of partnerships in terms of the impact of internal and external environments, previous collaboration history and partner reputations played a positive role in facilitating all six partnerships studied. More specifically, heightened political interest in certain issues, corporate encouragement to pursue partnerships, positive previous collaboration history and the reputation of partners often supported the development of partnerships. During implementation, for at least half the cases studies, internal factors, most often related to staff turnover, had a less positive impact on partnerships by reducing continuity



and contributing to uncertainty, changing priorities and at times implementation delays. Furthermore, changes to the external environment related to increased political interest in issues placed increase pressure on IDRC staff to comply with demands. The factor was considered moderately salient and did not generally have a pervasive impact on the other factors analyzed during this study. The following text further probes various facets of partnership roots according to the findings from each case.

#### **4.2 External and Internal Environments**

- The exploration stage of partnerships was influenced by increased interest within the research community and beyond in a specific field, such as climate change for CCAA, global health research for GHRI, and environmental economics for EEPSEA.
- Corporate encouragement to pursue partnerships considered strategic was found to facilitate the initial exploration of partnerships (e.g. with the Gates Foundation for CD in LAC, with IFAD for KariaNet and with various donors for EEPSEA).
- The implementation stage of CCAA was influenced by increased political interest in the issue of climate change in the U.K. leading to greater pressures on IDRC to demonstrate program results, particularly through communications pieces.
- Changes in internal management staff and overall leadership led to shifting emphases and priorities delays during the implementation stage, undermining partnership effectiveness (e.g. with IDRC, Microsoft and SDC for telecentre.org and with Sida for EEPSEA).

#### **4.3 Previous Collaboration**

- Where no previous collaboration between IDRC and the donor partner existed (i.e. with the Gates Foundation for CD in LAC, and with Microsoft for telecentre.org), IDRC tended to undertake a more careful partnership risk analysis than in cases when previous collaboration had occurred.
- When IDRC had previously worked with a partner, initial reconnaissance was sometimes undertaken; however the partnership negotiating team often did not have detailed knowledge on the nature and effectiveness of previous relationships with that partner.
- In some cases (e.g. CCAA), previous collaboration did not have a salient impact on the partnership, in either a positive or a negative manner.

#### **4.4 Experience in the Relevant Field**

- In two thirds of the cases studied, the partnerships were developed with organizations with considerable relevant experience, which often played an important role in bringing partners together during the exploration stage.
- Exceptions included the Gates Foundation, which had little experience in funding research on ecological and social factors that influence the transmission and control of communicable diseases, and the donors contributing to EEPSEA, none of which had experience in the field of environmental economics.
- The partnership with Gates was seen by IDRC as an opportunity to increase Gates' level of interest in the field and the region and open the door for future funding possibilities.

- The multi-donor partnership established for EEPSEA was viewed as a way to contribute to the new field of environmental economics.

IDRC's own experience often contributed to the interest of other organizations in partnering with the Centre.

- In the case of EEPSEA, for example, donors recognized IDRC's experience in implementing a successful model multi-donor partnership with the same governance structure proposed for EEPSEA the African Economic Research Consortium).

#### **4.5 Reputation**

- IDRC's strong reputation was a factor that often drew the attention of other partners; in the case of telecentre.org, for example, IDRC's reputation combined with the extensive experience of the ICT4D Director at the time, were felt to be critical elements that encouraged Microsoft's engagement with IDRC.
- Partner reputation was an important consideration for IDRC particularly in terms of ensuring complementarity with Centre values and principles. For example, Microsoft's reputation and interest in proprietary software was one of the main issues analyzed during the discussions on risks associated with the telecentre.org initiative, and risk mitigation measures were identified to address this issue. Gates' reputation in terms of promoting technology-oriented solutions rather than preventive approaches to communicable diseases was also assessed at the outset of the partnership, though it was not deemed a significant concern since IDRC was given control of all programmatic aspects of the initiative.

#### **4.6 Lessons Learned about Partnership Roots**

- It is important for IDRC to take advantage of external factors such as heightened interest within the political or research arena in an issue, as this can facilitate the development a partnership.
- By entering into a new field of inquiry, the Centre can more easily attract other partners to a multi-donor initiative and establish a reputation for itself as a leader/pioneer.
- IDRC must recognize the importance of demonstrating program results, particularly when strong political interest translates into donor pressure on IDRC.
- When exploring a new partnership, IDRC should try to anticipate the impact of internal factors affecting the partner organization(s) such as frequent staffing changes and political pressures and identify possible ways to minimize the associated risks.
- IDRC could benefit from the greater generation and use of information on previous collaboration experiences (from the perspective of the nature of the relationship between partners), in order to minimize potential future problems.

### **5 COMPLEMENTARITY**

#### **5.1 Influence of Complementarity on Partnership Effectiveness**

In all six cases studies, the partners shared a common overarching vision and belief in the importance of the program to be implemented. However, in many cases, partners adopted different approaches or had different ways of operating which may or may not

significantly impact the partnership. For three of the cases studies, the partners' differing approaches undermined partnership effectiveness to a certain extent, oftentimes contributing to mismatched expectations and frustrations on the part of programme staff or to an increased workload, while in one of the case, the differing approaches actually positively influenced the partnership, by facilitating broader discussion between the partners and deepening the relationship.

The factor of complementarity tended to be moderately salient for most of the cases studied. In one of the cases, the strength of the shared vision among partners served to override other factors that would otherwise have had a more negative impact on the partnership, therefore demonstrating the pervasive impact of this factor. For the other programs studied, the factor was not generally pervasive in its impact. The next section highlights specific findings from the case study research on the influence of the level of complementarity among partners.

## **5.2 Shared Vision, Common Interests and Approaches**

- IDRC and its partners often shared a common vision, objectives and desired outcomes for the planned endeavours and these were openly discussed during the initial stages of partnership development. For example, for the CCAA initiative, DFID and IDRC were committed to increasing climate change adaptive capacity in Africa. For GHRI, a great deal of enthusiasm and a strong shared vision developed around building a partnership of four Canadian agencies to support global health research. In the case of EEPSEA, many donors were interested in becoming involved in the burgeoning new field of environmental economics.
- In some instances, IDRC and donor partners had different ideas regarding the best approach to fulfill that common vision (e.g. DFID and IDRC have differing views on the type of research partner the initiative should engage, with DFID accustomed to contracting out research to experts while IDRC focuses on participatory research capacity building; e.g. all GHRI partners are committed to increasing global health research funding, but each has a different mandate and way of operating; e.g. with EEPSEA, CIDA and Sida have different approaches to research and to monitoring of results).
- In the case of the Gates Foundation, the lack of complementarity in approaches to addressing communicable diseases actually developed into an opportunity for IDRC to influence Gates' way of thinking and had an increasingly positive influence on the partnership over time.

## **5.3 Lessons Learned About Complementarity**

- IDRC should continue to invest time in building a common vision among partners, as this has a significant positive impact on partnership effectiveness.
- IDRC could probe deeper into partners' implementation approaches at the exploration stage to assess the level of complementarity with those of IDRC and identify how to address potential differences.
- IDRC must ensure that it carefully analyzes the program fit between potential new programs and existing programmatic priorities.

- When a program includes a variety of partners with different mandates and ways of operating, it is critical to operationalize the partnership effectively and strive to minimize the associated administrative burden.
- The establishment of a multi-donor consortium may contribute to harmonization of efforts among donors/ partners.
- Lack of complementarity between partners' approaches to program implementation can be translated into an opportunity to influence partners' way of thinking and open the door for future funding opportunities.

## **6 LEVEL OF COMMITMENT**

### **6.1 Influence of Level of Commitment on Partnership Effectiveness**

In general, the level of motivation of partner organizations was a salient or moderately salient factor that positively impacted partnerships. The influence of this factor tended to endure from the early stages of partnership development through to implementation. In at least half of the cases studied, the strong commitment of partners to a particular program positively influenced other elements of the partnership, such as communication, governance and terms of engagement, and therefore exerted a pervasive impact.

### **6.2 Specific Findings**

- Findings indicated that highly motivated individuals and champions who spearheaded stages of partnership development played a very positive role in partnership effectiveness (e.g. with GHRI the influence of champions within the four organizations that established the partnership was key).
- However, high levels of commitment among partner representatives on program governing or implementing bodies did not always translate into more general commitment within partner agencies (e.g. insufficient high-level intra-organizational commitment among GHRI partners contributed to later difficulties in negotiating multi-year contributions to the Secretariat costs).
- In some cases, the level of commitment among different partners involved in the same initiative varied and this imbalance was found to influence effective decision-making (e.g. with telecentre.org, SDC was less engaged than Microsoft).
- Sustained commitment over time positively contributed to partnership effectiveness (as in the case of EEPSEA where CIDA and Sida have contributed for close to 15 years).

### **6.3 Lessons Learned About Level of Commitment**

- It is important to promote broad high-level commitment within partner organizations in order to minimize the administrative burden and facilitate partnership implementation.

## **7 EQUAL FOOTING**

### **7.1 Influence of Equal Footing on Partnership Effectiveness**

In general, lack of equal footing among partners was not identified as a significant or enduring problem for most of the programs studied, with the exception perhaps of two cases, where IDRC struggled to maintain its position as an equal partner. This tended to lead to considerable frustration within IDRC. In one of the cases, the lack of equal footing endured throughout most of the partnership and negatively coloured other elements of the relationship such as the communication among partners and the effectiveness of the governance structures, thereby exerting a pervasive influence.

In several cases, the issue of equal footing was perceived as problematic only for specific periods of time, representing some slippage in what were otherwise considered equal partnerships.

## **7.2 Level of Equal Footing**

- In most cases, partners were generally on equal footing, in part because IDRC adhered to its principle of committing its own funding to maintain a strong position at the bargaining table and was careful to ensure that the terms of reference of governing bodies provided IDRC with management and financial authority.
- However, in some cases, partners have attempted to become involved in management-level decisions (e.g. IFAD with KariaNet and Microsoft with telecentre.org), leading to delays and frustration among IDRC staff.
- In the case of KariaNet, IFAD's perception of IDRC as an executing agency was an issue that dogged the partnership from the outset. In fact, the original proposal was designed primarily to meet IFAD objectives with IFAD project beneficiaries. Furthermore, the hierarchical governance structure of this program helped create a space for IFAD to micro-manage the initiative, seriously reducing the decision-making power of the Program Facilitation Unit.

## **7.3 Changes in Equal Footing over Time**

- For some of the partnerships studied, partners took on more dominant roles at specific instances in time only (e.g. the Gates Foundation during program development, e.g. DFID during recent stages of program implementation in relation to the need for communication pieces).
- In some cases, such as with the Gates Foundation for CD in LAC, the level of equal footing increased over time as the partners learned more about each other and deepened their relationship.

## **7.4 Other Factors Affecting Equal Footing**

- The amount of funding contributed by each partner did not necessarily affect the level of equal footing among partner organizations (e.g. with telecentre.org, SDC's lower contribution compared to Microsoft did not have an impact on its ability to contribute as an equal partner).
- For the GHRI multi-donor partnership, the housing of the Secretariat within IDRC had led to some tension among partners. The Secretariat has attempted to address this by creating a neutral space for all four partner organizations and working to maintain a sense of functional balance among the partners.

## 7.5 Lessons Learned About Equal Footing

- It is critical that IDRC clarify its management authority and approach to partnering from the outset, including the fact that IDRC does not act as an executing agency but as a full partner.
- Program Design documents or proposals must always reflect IDRC's vision, objectives and beneficiaries (e.g. researchers, policy-makers) and not focus exclusively on the achievement of partners' objectives.
- Where a Secretariat for a multi-donor partnership is housed within IDRC, it is important to ensure that all partner organizations are equally represented.

## 8 RISK IDENTIFICATION AND MANAGEMENT

### **Influence of Risk Identification and Management on Partnership Effectiveness**

Findings to date suggest that risk is generally considered during the exploration, initiation, planning and signing stages of partnership development and that risk management has had significant, positive influences on partnership effectiveness. Nevertheless, IDRC could benefit from even greater emphasis on risk identification and management as well as consistent documentation of risk mitigation strategies and regular monitoring of their effectiveness. The issue of risk was moderately salient for most of the partnerships studied. In addition, in some cases, the insufficient attention dedicated to risk identification and/or risk management strategies during partnership development caused problems during implementation and therefore exerted an enduring impact.

### **8.2 Degree of Identification and Management of Risks**

- Potential partnership risks were more carefully analyzed when IDRC was exploring partnerships with organizations with whom it has not previously worked, such as Microsoft for telecentre.org and the Gates Foundation for CD in LAC.
- The partnership with the Gates Foundation represented one of the first times in IDRC's history of partnering that a corporate level risk assessment was undertaken to better understand the costs and benefits of engaging with an organization, a fact which contributed to IDRC's confidence in working with Gates and one which positively influenced the progression of the partnership.
- For telecentre.org, risk mitigation strategies were identified to address the possible reputational risks of being associated with Microsoft, and these were seen as having been largely successful.
- With GHRI, strategies to address the possible risks associated with implementing a partnership with four organizations with very different ways of operating were not developed at the outset and the Secretariat has had to deal with high transaction costs as a result.
- With CCAA, more appropriate management of the risks associated with high spending requirements and the hiring of a new team could perhaps have reduced problems experienced later on during implementation. High opportunity costs were borne by the entire CCAA management team in order to fast track implementation for the sake of meeting the expenditure targets.

- It was felt that the risks associated with partnering with IFAD were not sufficiently analyzed for the KariaNet Program.

### **8.3 Examples of Risks Identified:**

#### *Operational Risks*

- Federal Funding: the risk of reduced parliamentary appropriations due to significant external funding (e.g. in the case of CCAA or CD in LAC);
- Liability for management of donor funds: insufficient capacity to meet the spending demands of new large partnerships (e.g. in the case of CCAA);
- Workload Burden: insufficient capacity to meet the demands of a partnership (e.g. for CD in LAC this concern was discussed in relation to IDRC's uncertainty as to what Gates' administrative demands would be, e.g. for GHRI, this risk is now being analyzed in the context of the possible expansion of the partnership to include an additional member);
- Continuity: Uncertainty of future funding as for example, foundations and the private sector can change direction and priorities quickly (e.g. this risk was identified with the Gates Foundation).

#### *Corporate Risks*

- Organizational Culture: possible impact of significant external recruitment on the Centre's corporate culture (e.g. in the case of CCAA);
- Reputational: Potential negative impact of association with a given donor partner, or private sector actor (e.g. in the case of Microsoft for telecentre.org and the Gates Foundation for CD in LAC);
- Values: the risk of being seen as an executive agency (e.g. in the case of CD in LAC);
- Reporting and audit requirements: high transaction and administrative burden if complex requirements (e.g. heavy reporting and audit requirements with IFAD for KariaNet, e.g. extensive reporting requirements with CIDA for EEPSEA).

#### *Program Governance Risks*

- Identifying donors: potential waste of resources developing collaboration and chasing donors funding (e.g. with Gates, the risk that CD in LAC would be a one-off initiative and would not lead to subsequent funding was identified);
- Relationship management: potential tensions with partners (e.g. with CD in LAC the possible conflicting priorities that could result from a multi-institutional partnership were acknowledged in the original proposal).

### **8.4 Risk Mitigation Strategies Implemented**

These included, among others:

- Incorporation of specific clauses in contractual agreements; diversification of partnerships; internal hiring; and the provision of detailed information on spending estimates to donors.

- The risk management options selected for the different partnerships had varying degrees of effectiveness (e.g. with CCAA).

### **8.5 Lessons Learned About Risk Identification and Management**

- IDRC could benefit from greater systematic identification, documentation and management of risks and increased monitoring of the effectiveness of risk management strategies.
- In particular, it is important to carefully assess and manage risks associated with hiring new staff on workload burden and organizational culture and to address risks associated with high spending projections (for example, by selecting appropriate modalities for research investments in order to meet expenditure targets).
- The risk of currency fluctuations should be consistently discussed during negotiations with donors.
- The risks of managing a multi-donor partnership with a variety of contractual arrangements and implementation approaches among partners on IDRC's workload burden/ absorptive capacity must be recognized, and strategies developed to minimize these risks.
- When progression through the different stages of partnership development is rapid or when stages are bypassed, care must be taken to ensure that critical considerations are not omitted that could affect later implementation.

## **9 TERMS OF ENGAGEMENT**

### **9.1 Influence of Terms of Engagement on Partnership Effectiveness**

Clear terms of engagement that nevertheless allowed for flexibility during implementation generally facilitated partnerships. On the other hand, a lack of detailed terms of engagement sometimes led to problems during implementation due to insufficient clarity on the roles and responsibilities of partner organizations. Tensions also arose when the terms of engagement placed high administrative demands on IDRC, when very specific terms of engagement were put in place or when overly ambitious timelines or spending targets were established in the original terms of engagement.

Overall, the terms of engagement constituted a moderately salient or salient factor for the partnerships studied, but did not generally have a strongly enduring or pervasive impact. In some cases, the negative impact of strict terms of engagement decreased with time, as partners developed a closer working relationship.

### **9.2 Appropriateness of Initial Terms of Engagement**

- Some organizations have established specific rules of engagement; for example the Gates Foundation has very strict requirements that stipulate that no funds can be spent in the United States and that their name cannot be used in association with any sub-grants. IFAD also had very specific rules around the use of their funds, some of which caused problems during KariaNet's implementation (for example, full annual



audits of their program were required and Memorandums of Understanding with all project beneficiaries had to be signed).

- For some programs, most notably CCAA, the initial time lines and spending targets established in the terms of engagement were felt by some interviewees to be inappropriate.
- In one of the cases studied (KariaNet), the project scope as defined in the original proposal did not reflect IDRC objectives and the workplans established at the outset did not facilitate later adjustments during implementation.
- Contractual arrangements varied depending on the donor/ partner, with some partners having more complex and administratively demanding procedures than others.
- In the case of CD in LAC, terms of engagement were not established between IDRC and the strategic non-donor partners (OAS, IDB and PAHO).
- Little detail about planned evaluations was usually included in the terms of engagement for the cases studied.

### **9.3 Lessons Learned About Terms of Engagement**

- The terms of engagement and roles and responsibilities of partners should be clearly established at the outset, while ensuring that flexibility (including in workplans) is maintained to adapt to changes.
- IDRC must adapt and comply with specific foundation rules and templates where appropriate, as partnerships with foundations become increasingly common.
- It is important that the terms of engagement include realistic time lines and spending targets and provide sufficient staff support to ensure that donor expectations can be met and that IDRC staff can meet the demands placed on them.
- The up-front investment of staff time to develop a solid proposal to guide program implementation leads to increased partner confidence in an initiative.
- Continuity in program direction, as reflected in the EEPSEA proposal (which was updated but not substantially changed since program inception) contributes to the maintenance of multi-donor partnerships.
- To the extent possible, it is important to allocate sufficient time to the negotiation of grant agreements to avoid delays in funding.
- In general, it is recommended that IDRC strive to negotiate terms of engagement with partners that do not place unduly high administrative demands on IDRC Program staff.
- For example, IDRC should push for the use of one contractual tool (IDRC's existing MGCs) with research partners to minimize delays in getting projects started (rather than agreeing to establish two contracts with project beneficiaries).
- Similarly, IDRC should strive to negotiate simple, general financial reports such as those required by DFID to minimize the administrative burden of financial reporting and allow for greater flexibility in spending.
- Where partnerships include strategic non-donors, the development of light contractual agreements may be beneficial to clarify roles and responsibilities.
- Greater specificity and clarity about the purpose and nature of planned program evaluations should be provided at the outset to minimize problems during

implementation, particularly given the importance of evaluations to the ongoing and future relationship between partners.

## **10 GOVERNANCE AND DECISION MAKING**

### **10.1 Influence of Governance and Decision Making on Partnership Effectiveness**

Governance and decision making was considered a salient issue for all six cases studies. In general the governance structures established for the programs reviewed were perceived to be functioning well and contributing positively to partnership effectiveness. A possible exception was the case of KariaNet where it was felt that the establishment of a Project Management Committee, over and above the Steering Committee, created additional administrative requirements and limited IDRC's decision-making power; in this case, the governance factor influenced other factors including communication and equal footing and was therefore a pervasive issue. For the other cases studied, the issue was not particularly pervasive in terms of its influence on other factors.

The positive impact of governance and decision making generally endured throughout the implementation stage of the partnerships studied. However, in some cases, there were intervals during which insufficient time was spent engaging with members of the governing bodies, which tended to undermine partnership effectiveness.

Feedback loops between governance and program implementation bodies were normally effective, and usually consisted of regular communication between program staff and members of governing bodies. For a large partnership such as GHRI, the establishment of a Secretariat with dedicated funding was considered essential.

### **10.2 Established Procedures**

- Relatively detailed terms of reference for the governing bodies were established for four of the six cases reviewed (CD in LAC, CCAA, KariaNet and EEPSEA);
- GHRI's Steering Committee functioned effectively without formal terms of reference as the original partners established strong relationships based on trust. However, findings suggest that the fact that the four partners' resource commitments were not clearly established contributed to the difficulty in obtaining stable funding for the GHRI Secretariat during implementation.
- The lack of detailed Terms of Reference for telecentre.org's Senior Working Group was not felt to contribute to later problems.
- In one of the cases (EEPSEA), the Advisory Committee was reimbursed for its services. For CD in LAC, GHRI, CCAA and KariaNet, the governing body members are not paid for their services though for the latter two programs they are reimbursed for their expenses.

### **10.3 Composition of Governing Bodies**

Membership on the governing bodies studied varied:

- Two of the cases involved only donor representatives (i.e. the Senior Advisory Group for telecentre.org and the Steering Committee for GHRI).

- In the case of GHRI, the Project Coordinator feels it would be useful to consider the inclusion of members of Low and Middle Income countries to guide strategic decisions and support GHRI's goal of promoting egalitarian partnerships with the South (these members may or may not be given voting rights on the Committee).
  - With telecentre.org, the governance structure may be reassessed to include a second advisory group (with Southern representatives) if the decision is made to continue the initiative post-2010.
- Two initiatives included non-funding strategic partners or individuals considered important leaders in the field (i.e. Steering Committee for CD in LAC and Advisory Board for CCAA).
  - The inclusion of African non-donors on the CCAA programme Advisory Board was felt to be vital to promote ownership and give legitimacy to the initiative among intended beneficiaries.
  - The participation of PAHO and OAS on the CD in LAC initiative, although they did not provide any significant levels of funding, was perceived to have lent greater clout and traction to the initiative, providing IDRC with valuable information on how it links with others in the region.
- Two cases established two bodies, one consisting of only donors and one broader entity including non-donors (i.e. Sponsors Group and Advisory Committee for EEPSEA; and the Steering Committee and Project Management Committee for KariaNet).
  - For EEPSEA, the establishment of both a Sponsors Group and Advisory Committee was viewed as a useful way to reduce potential conflicts of interest. The Sponsors Group approves the rules governing the Advisory Committee as well as the workplan, thus avoiding a situation where Advisory Committee members would be responsible for deciding on the composition and procedures of the committee or on activities proposed at members' home institutions).
  - In the case of KariaNet it was found that the Project Management Committee undermined partnership effectiveness by increasing workload burden and reducing the decision-making power of the IDRC management team.

#### **10.4 Scope of Authority**

- In a number of cases, discussions during the planning stages focused on the importance of ensuring that the governing body not be vested with the authority to deal with financial and other management-related issues.
- The CD in LAC Steering Committee roles and responsibilities as well as those of GHRI focus on providing strategic guidance and direction and do not include approval of the annual workplan or budget.
- Telecentre.org's Senior Advisory Group, KariaNet's Steering Committee and EEPSEA's Sponsors Group are also responsible for approving the annual workplan and budget, while CCAA's Advisory Board is responsible only for approving the annual workplan (but not the budget).
- It is worth noting that IDRC seems to employ different terminology for governing bodies, with similar entities referred to by the names of Steering Committee, Senior

Advisory Group, Advisory Board, Sponsors Group and Project Management Committee.

- For the CD in LAC initiative, Steering Committee members were on occasion involved in both setting strategic direction and technically reviewing proposals, which could be seen as a conflict of interest. In addition, Steering Committee members were sometimes asked to provide their input on operational issues, despite the fact that their Terms of Reference did not call for this level of involvement.

#### **10.6 Decision-making**

- Decision making on strategic issues and sometimes on the annual workplan and budget is usually undertaken by the governing bodies established for the various cases studied.
- Decisions are often arrived at by consensus or through a simple voting system.
- For most of the cases studies, decisions were well documented. A possible exception would be GHRI where partnership decisions resided more in tacit agreements, although the decision-making procedures have now become more formalized.

#### **10.7 Feedback Loops with Implementation Bodies**

- A Secretariat was formed for GHRI, which was charged, among other tasks, with supporting the governance and oversight functions of the GHRI Steering Committee. Extensive communication between the Secretariat and Steering Committee occurred and this was perceived to be effective by interviewees.
- The difficulty obtaining dedicated, stable funding for the GHRI Secretariat undermined its effectiveness and ability to tackle strategic issues to a certain extent.
- For the other case studies, communication between Program Staff and the governing bodies was generally characterized as effective though lapses in IDRC's engagement with the governing bodies sometimes occurred.
- Specifically, irregular contact with Steering Committee members was an issue in the CD in LAC project in the latter part of 2007. At a spring 2008 workshop for project recipients, three of the four partner organizations (specifically the strategic non-donor partners) did not participate and interviewed staff believed that the irregular communication might have contributed to the lack of involvement.
- Similarly, in the case of telecentre.org, less attention was paid to engaging the governing body in 2007, partly as a result of staffing changes.

#### **10.8 Lessons Learned About Governance**

- It is important to invest time to nurture the relationship with all partners (including strategic non-donor partners) and keep the governing body members engaged.
- The composition and functioning of the governance structure should be designed to ensure that all participants can voice their opinions.
- A number of case studies demonstrated the value of including strategic non-donor members on governing bodies.
- The three-bodied structure employed in EEPSEA, which was based on an effective previous model and which includes an Advisory Committee, a Sponsors Group and a small Secretariat functions well. The establishment of both a typical Steering

Committee-type body and an Advisory Committee can serve to reduce potential conflicts of interest.

- The creation of a second governance structure in addition to the Steering Committee in the form of a Project Management Committee, charged with supervising the implementation of workplans, among other tasks, may not be necessary or useful as it could limit the authority of the program team and lead to unnecessary delays.
- By facilitating the participation of Advisory Committee members in program workshops, their understanding of the program is enhanced, as are the quality of their contributions.
- Reimbursing Advisory Committee members for their services can serve to increase the quality of their contributions and ensure their participation and commitment to the program.
- Adherence to the terms of reference of governing bodies can prevent perceived or actual conflicts of interest and ensure that IDRC maintains management authority
- The establishment of effective coordinating bodies/units/secretariats with dedicated funding to support governance and program implementation can be very useful for large partnerships.
- There is value in learning more about individual partnerships involving different types of partners on the same governing body, including donors and strategic partners (e.g. CD in LAC).

## **11 COMMUNICATION**

### **11. 1 Influence of Communication on Partnership Effectiveness**

Communication was a salient issue affecting all the partnerships studied. Effective, regular communication among partners, often based on the establishment of strong relationships, contributed significantly to partnership effectiveness and to the establishment of trust, a critical element of successful partnerships.

Communication was sometimes undermined by slow response times or minimal feedback from partner organizations. This situation often characterized partnerships with bilateral organizations. In addition, staff turnover sometimes affected the level and nature of communication.

While the study's original focus assessed communication among partners, the issue of internal communication within IDRC and its impact on partnership effectiveness surfaced repeatedly during interviews. It was found that the creation of internal working groups or the effective coordination of input from different internal departments by PBDD facilitated the early development of partnerships. Some areas for improvement were highlighted, such as ensuring the input of all relevant divisions within IDRC from an early stage in the development of partnerships and promoting communication between different IDRC divisions.

The nature of communication between IDRC and other partners often influenced other factors or was influenced by other factors such as equal footing, governance and

partnership roots, indicating that it is an issue that can have a pervasive impact on partnerships and is one that merits significant attention.

### **11.1 Nature of Communication, Frequency and Response Times**

- Open and frequent communication characterizes many of the partnerships included in this research.
- Slow response times and limited feedback from partner organizations, particularly with bilateral organizations, was an issue in the case of Sida and CIDA with EEPSEA, SDC for telecentre.org and DFID for CCAA.
- IDRC has attempted to deal with in a number of different ways.
- Staff turnover also affected the level and nature of communications (e.g. in the case of GHRI, CCAA and telecentre.org).
- A lower level of communication from IDRC with partners significantly reduced their level of engagement in initiatives (e.g. with CD in LAC, this led to their lack of participation in a workshop and in the case of one of the partners, the loss of one of the project's strategic partners).

### **11.2 Communication with External Audiences**

- For half of the cases studied (telecentre.org, CCAA and EEPSEA), the research highlighted the critical importance of communications and public relations to partners.
- IDRC's experience with the private sector demonstrated that Microsoft places great value on communications and on being able to show program impact through the website and other means, both to an internal audience and to its stakeholders.
- As a bilateral agency, DFID also has an increasing need to showcase program achievements in light of greater political pressures to demonstrate the impact of its climate change program.
- With EEPSEA, IDRC developed effective and regular communication material from the outset, which was viewed favourably by the participating partner organizations.

### **11.3 Documentation of Information and Formalization of Communication Guidelines**

- In some cases (e.g. GHRI), the tacit knowledge and institutional memory shared by partners and built through strong verbal communication was not always systematically documented.
- Furthermore, it was not always clear what type of information should be consistently shared.

### **11.4 Modalities**

- In some cases, interviewees highlighted the importance of identifying useful modalities to promote increased communication among partners and within partner organizations (such as networking lunches), as well as the need streamline communication to partners.

### **11.5 Conflict Resolution Mechanisms**

- Formal conflict resolution procedures were generally not established for the programs studied. In most cases, where contentious issues between partners arose and bilateral discussions were ineffective, the involvement of the program's governing body was solicited, or other parts of Team IDRC provided input.
- In the event that problems remained unsolved, they were sometimes taken to a higher level, such as the heads of partner agencies, as occurred in relation to the issue of the onerous financial transfer mechanisms among partners for the GHRI initiative. In the case of KariaNet, a presentation was made at the Steering Committee meeting to highlight partnership problems and lessons learned, followed by a direct visit to the partner organization.

#### **11.6 Internal Communication: Team IDRC**

- Research findings emphasized the importance of strong internal communication and its direct influence on partnership effectiveness; this involved various internal issues related to "Team IDRC," referring to the inclusion of broad-based participation from Finance and Grant Administration, Legal Counsel, Regional Controllers and also, as appropriate, the President's Office, particularly the Evaluation Unit, Communications Division, Human Resources, and the Policy and Planning Group from the early stages of partnership development.
- In some cases, it was felt that communication between Programs, FAD and GAD could be improved in order to establish realistic time lines for program implementation.
- Findings to date underscore the usefulness of creating internal working groups and dedicating human resources to the early planning stages. For telecentre.org, this approach was implemented very successfully to take the program through to signing. For GHRI, it was felt that a working group including GAD, FAD and PBDD would have been beneficial during the signing stage of the partnership. For EEPSEA, no working group and it was felt by the Program Director that this did not contribute to later problems.
- In the case of telecentre.org, internal processes (e.g. in relation to contracting out work and hiring personnel) were felt to be insufficiently dynamic to support a large public-private partnership of this type.

#### **Lessons Learned About Communication**

- Regular interaction with partners is vital to sustaining their interest and engagement.
- Institutional relationships need to be developed with all partners, rather than depending on relationships with individuals who may have other time commitments and may be unable to delegate due to lack of institutional buy-in.
- Visits to partner organizations when particular needs arise are critical in order to ensure that responses are obtained and key decisions made.
- Networking lunches among partners are one way to promote communication and increase the level of intra-organizational recognition of the value of partnerships.
- IDRC must recognize the importance many partners place on communications with external audiences and public relations and dedicate sufficient human resources to this function.

- IDRC benefits from developing suitable and attractive material and tools to make program impact more evident and feed into these requests for communications pieces from partner. This helps to maintain partner interest and commitment to partnerships.
- The systematic documentation of key decisions and of the knowledge shared by partners can promote information sharing and minimize future problems and misunderstandings related for example to staffing changes.
- A successful multi-donor partnership (particularly with bilateral organizations) requires a communication and coordination system that does not impose heavy requirements on contributing partners.
- Communications to partner organizations should be streamlined to ensure that all relevant information is effectively communicated to key internal audiences within partner organizations.
- IDRC should support the creation of internal working groups and strong internal communication and involvement among Team IDRC members to facilitate partnership development and maintenance.
- Effective communication between GAD and Programs is vital to establish realistic targets and plans/ time lines for program implementation such that the demands of large partnerships can be met.
- Improved internal communication and more dynamic, flexible and adaptive internal processes are vital in public-private sector partnerships.



## 10 FINDINGS ON THE STAGES OF THE PARTNERING MODEL

### 10.1 Approximate Duration of Stages

- Exploration: For five of the cases, this stage lasted between 4 - 12 months
- Initiation: Five of the six cases had a duration ranging from 1 to 5 months to develop preliminary documents such as a Letter of Inquiry, Letter of Intent, a background document or concept note. For GHRI, no concept note for the initiative was ever prepared.
- Planning: 3 to 12 months. With CD in LAC, approximately 3 months were required to develop the proposal, CCAA's programme document with DFID was merged with the signing stage, and together these stages took approximately 6 months. For Telecentre.org, a Business Plan was developed (rather than a proposal) by Microsoft and then refined by IDRC, a process which took approximately 1 year and coincided to a certain extent with the exploration stage. With KariaNet, the planning stage lasted 7 months while for EEPSEA it lasted 9 months. GHRI never developed a proposal for the initiative as a whole, but rather an MOU.
- Signing: The duration of this stage for five of the case studies was between 5 and 12 months. For EEPSEA, the initiation and signing stages (which were intertwined) with CIDA took approximately 3 years.
- Implementation: All six case studies analyzed are currently in the implementation stage, with a life-cycle ranging from three to five years, with the exception of the GHRI partnership and EEPSEA which do not have definite closure dates (in fact EEPSEA has already been under implementation for 15 years!).

### 10.2 Level of Fit Between Case Studies and Partnering Model

The *Partnering Model* identifies six distinct stages through which partnerships are believed to progress. Research on the six case studies found that reality did not always fit the model; in some cases, stages were omitted altogether (e.g. for GHRI, there was no formal initiation or planning stage in terms of the development of a concept note or proposal) while in others stages were merged or the order of progression through the stages differed from the model. In the case of EEPSEA, for example, the initiation and planning stages, in terms of the development of the concept note and proposal, were undertaken by IDRC alone and preceded contact with the donors (exploration and signing stages). IDRC felt this to be beneficial as the Centre had a product to share with donors to sell the program. Moreover, for EEPSEA, the signing stage was revisited on a number of occasions during program implementation to negotiate new funding contracts with donors.

It should therefore be concluded that the Partnering Model reflects good project management practice and is a useful guide for identifying key developments during the establishment and implementation of partnerships and to explore temporal nuances important in understanding shifts over time in partnership effectiveness. However, in practice the nature of the development of partnerships is varied and dynamic and partnerships do not, and indeed need not, follow the model to the letter to be effective.

### **10.3 Influence of Speed of Progression Through Stages**

In saying that, findings from at least two of the case studies suggest that progression through the different stages of partnering should not be hasty, as there is a risk that critical considerations may be omitted that could negatively influence later implementation. In the case of CCAA, some interviewees felt that decisions on the governance structure and programming were made too soon because of a rush to get the program through to signing. With GHRI, in order to take advantage of the momentum and the shared vision among the four founding partners, the partnership proceeded very quickly to the signing stages without proceeding through the initiation or planning stages in the traditional sense, in terms of the development of a concept note or proposal. The Memorandum of Understanding that was signed did not define the roles and responsibilities of each of the partners in detail, which later contributed to lack of clarity and tensions. On the other hand, the importance of proceeding carefully through the stages should be weighed against the benefits of seizing opportunities that may exist during initial partnership development.

### **10.4 Factor Relevance at Different Stages**

By analyzing the impact of factors during the different stages of partnership progression, it was possible to observe that some factors played a more critical role during certain stages than others. Furthermore, factors may have had a more positive or more negative impact at some stages compared to others. For example, the roots of partnerships, in terms of the reputation of each partner, previous collaboration history and the internal and external environment affecting the partnership, was a particularly salient issue during the pre-implementation stages of the partnerships studied. The internal organizational environment generally played a positive role to facilitate the development of partnerships before implementation, while changes in the internal environment, usually related to staff turnover, tended to undermine partnership effectiveness during implementation. Governance and decision-making is an example of a factor that only plays itself out to a significant extent during the implementation stage given that governing bodies are not typically operational beforehand.

## **Annex I: Stages of the Partnering Model**

### Exploration

This is where opportunities for collaboration are identified, potential partners are qualified, risks are identified and assessed, and a decision to work with one or more partners is made. Some of the activities that take place during this stage are:

- Proactive: seeking partners (i.e. in conferences, workshops, donor meetings, exploratory donor visits, contacts, etc.), or
- Reactive: responding to donor's approaching IDRC
- Examining options and selecting a course of action
- Gathering intelligence, qualifying potential partner(s)
- Identifying and assessing risks
- Confirming matching interest and intention to collaborate

### Initiation

At this stage, partners develop their working relationship by agreeing on goals, scope and core principles that will provide the basis for their activities. A concept note, feasibility study or terms of reference is developed. Some of the specific actions that take place at this stage are:

- Building a vision for the partnership and defining the nature of collaboration (agree on underpinning goals and principles)
- Developing a concept note outlining scope, objectives, and expectations of program/project
- Committing resources and respective contributions
- Appointing a lead PO and collaborative group

### Planning

During the planning phase, partners agree on the parameters of their collaboration and design a detailed program of work. At this stage the full project/program proposal is elaborated, including information on the governance and decision-making structure.

Some of the specific issues to clearly lay out are:

- Project: objectives, tasks, responsibilities, timeframes
- Resources: staff, equipment, materials
- Management: structure, governance
- Financial: proposed budget and contributions
- Risk management: actions to mitigate risks identified
- Communications: internal and external audiences
- Monitoring & Evaluation: to assess progress and achievements

Other aspects to work on are:

- Defining negotiation strategy and walk-away line
- Agreeing on communication systems, decision-making processes, publicity, additional partners
- Planning beyond project duration (project and partnership)

### Signing

At this stage, negotiations are concluded and parties sign a formal agreement - most often times a contribution agreement. Key actions at this phase are:

- Confirming agreement points: activities, deliverables, timelines, budget
- Determining/negotiating contract modalities, reporting, payments, intellectual property, etc.
- Ensuring authorization to accept funds received
- Reviewing & finalizing contractual documents (e.g. contribution agreement, MOU, grant)
- Carrying out administrative tasks

### Implementation and Monitoring

During execution, the various plans are implemented, monitored and adjusted to ensure that the objectives are met. Some form of „stock-taking’ of the partnership should also occur. This stage involves the following:

- Implementing the various plans and activities
- Monitoring progress (on time and on budget), control quality deliverables, outputs and outcomes, effectiveness of risk management activities
- Reviewing and adjusting plans
- Reporting as per agreement
- Assessing/taking stock of the experience of the partnership

### Closure

Following acceptance of the final report the partners evaluate the project/program and the partnership. They also make decisions on the future of the partnership, i.e. whether it should continue, be extended or institutionalized, or terminated. This stage involves the following:

- Sending final reports
- Documenting/sharing learning and highlighting best practices
- Recording information about partnership in rPCRs
- Conducting review, evaluation, and rPCRs if applicable
- Deciding the future of partnership i.e. renew, continue, re-focus, institutionalize or terminate

### Relationship Management

Managing the relationship is central to the entire process and requires a continuous effort from partners to maintain open and regular communication. As we know, collaboration can be time consuming and frustrating, but it is essential to address problems in a timely fashion. Relationship Management involves:

- Ensuring there is open communication
- Maintaining regular contact and reporting
- Staying-in-touch mechanisms: scheduling meetings/conference calls, visits, participation in workshops or activities
- Celebrating successes and recognizing partners
- Monitoring satisfaction of donor partners
- Measuring the health of partnership

## Annex II: Description of the Factors Affecting Partnership Effectiveness

Factor	Description of factor	Elements of factor
<u>Partnership Roots</u>	This refers to the context in which the partnership is situated, in terms of the partners' previous experience, reputation, collaboration history and internal and external factors.	<ul style="list-style-type: none"> <li>• <b>External and internal environment:</b> These are aspects external to the scope and influence of the partnership (such as economic or political factors) and their corresponding organizations or internal aspects related to programming and policy parameters within the partner organizations.</li> <li>• <b>Previous collaboration:</b> This refers to previous collaboration among the partner organizations, not necessarily among the same people or programs involved in the partnerships</li> <li>• <b>Experience in the relevant field:</b> This refers to the extent of substantive corporate knowledge in the thematic area addressed by the partnership.</li> <li>• <b>Reputation:</b> This relates to the overall perception of the partner and the efficacy of their work within the broad international development community and more generally in the media.</li> </ul>
<u>Complementarity</u>	This factor refers to the degree of complementarity and consistency among partners' vision, interests and implementation approaches.	<ul style="list-style-type: none"> <li>• <b>Shared overarching vision and objectives:</b> including abstract goals and concrete objectives for the program.</li> <li>• <b>Common interests and approaches:</b> Implementation approaches and processes for realization of program's</li> </ul>

		goals. <ul style="list-style-type: none"> <li>• <b>Mutual respect, understanding and trust</b></li> </ul>
<u>Level of Commitment</u>	The level of motivation of partner organizations is demonstrated by the involvement of senior staff from each partner; the extent of preparation for and engagement in meetings; and the existence of champions who spearheaded the initiative.	
<u>Equal Footing</u>	One of IDRC's principles of partnership is that the organization works on equal footing with partners and does not act as an executive agency; IDRC seeks to maintain an equal position or standing in relation to other partners and ensure that no one partner dominates.	
<u>Risk Identification and Management</u>	This refers to the four elements of the risk management process, including identification, assessment, management and monitoring.	<ul style="list-style-type: none"> <li>• <b>Risk categories</b> established in the <i>Partnering by Design</i> document.</li> </ul>
<u>Terms of engagement</u>	This factor refers to the establishment, either formally or informally of protocol, in other words, the terms of engagement or the "rules" guiding the partnership	<ul style="list-style-type: none"> <li>• <b>Clarity and level of detail of terms of engagement</b></li> <li>• <b>Relevance/ appropriateness of original terms of engagement</b></li> </ul>
<u>Communication</u>	This is defined as the "channels used by collaborative partners to send and receive information, keep one another informed and convey opinions to influence the group's actions" <sup>2</sup>	<ul style="list-style-type: none"> <li>• <b>Negotiation:</b> the process and effectiveness of negotiation processes</li> <li>• <b>Frequency, detail, response time and general expectations around communication</b></li> <li>• <b>Conflict resolution mechanisms</b></li> <li>• <b>Communication with external audiences</b></li> </ul>

<sup>2</sup> Mattessich et al., 2001

<u>Governance and decision-making</u>	<p>Governance structures refer to bodies usually set up to provide strategic advice and program oversight. Governance is a cross-cutting factor that often has a significant influence on partnership health and effectiveness from the time of its formation, usually at the early implementation stage if not earlier, through to closure.</p>	<ul style="list-style-type: none"> <li>• <b>Internal communication</b></li> <li>• <b>Design process, elaboration of TORS</b></li> <li>• <b>Composition, Responsibilities and Procedures</b></li> <li>• <b>Adherence to original TORs</b></li> <li>• <b>Feedback loops with project/program implementation</b></li> <li>• <b>Decision-making:</b> Clarity on who makes decisions and how they are made</li> <li>• <b>Effectiveness of governing bodies/ structure</b></li> </ul>
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#### **Annex IV: Interviews Conducted**

Albert, Richard. Former External Funds Manager, Financial Administration Division. June 26, 2008.

Auditto, Rana. Director. Grants Administration Division.

Bazzani, Roberto, Senior Program Specialist. Governance, Equity and Health. May 5, 2008.

Beech, Arlyne. Program Officer. Ecohealth. May 5, 2008.

Binette, Robert. Chief. External Funds Management. Financial Administration Division. June 19, 2008.

Bona, Shaun. Regional Controller. June 17, 2008.

Bragger, Tina. Manager, Programmes. Grants Administration Division. June 19, 2008.

Braun, Heidi. Research Officer. ENRM. May 6, 2008.

Briand, Claude. Regional Controller of WARO (when CCAA was being developed). June 16, 2008.

Burley, Lisa. Senior Partnership Officer, Partnership and Business Development. Apr. 21, 2008

Carter, Simon. Program Manager. CCAA. May 8, 2008.

Charron, Dominique. Program Leader. Ecohealth. May 6, 2008.

Ceballos, Florencio. Managing Director. Telecente.org. April 29, 2008.

Cheung, Abel. Grant Administrator. Grants Administration Division. June 12, 2008.

Clark, Michael. Director. ICT4D. May 21, 2008.

Currie-Alder, Bruce. Senior Policy Analyst. Policy and Planning Group. June 16, 2008.

Dabies, Ibrahim. Senior Program Officer. Governance, Equity and Health. April 2, 2008.

Dansou, Kafui. Former PBDD Officer. July 14, 2008.

Denton, Fatima. Programme Leader. CCAA. May 7, 2008.

Earl, Sarah. Senior Program Officer. Evaluation Unit. June 16, 2008.

El Zaim, Adel, Senior Program Specialist. June 18, 2008.

Francisco, Herminia. Program Director. Economy and Environment Program for Southeast Asia. July 17, 2008.

Fuchs, Richard. Former ICT4D Director. May 11, 2008.

Glover, David. Program Leader. Environmental Economics. Founding Director of the Economy and Environment Program for Southeast Asia. July 10, 2008.

Gohier, Julie. Financial analyst. External Funds Management. Financial Administration Division. June 19, 2008.

Haylock, Laura, Professional Development Award Recipient. Evaluation Unit. June 16, 2008.

Hoole, Trent. Associate Counsel, Office of the Secretary and General Counsel. June 17, 2008.

Kennedy, Rosemary. Research Officer and Program Coordinator, Research for International Tobacco Control. May 21, 2008.

Kirkham, Lee. Regional Controller. Southern Africa Regional Office. June 24, 2008.

LeGuerrière, Genevieve. Manager. Budget and Financial Management. Financial Administration Division. June 19, 2008.

Malki, Mustapha. Project Coordinator, KariaNet. July 3, 2008.

Mhatre, Sharmila. Senior Program Specialist, Governance, Equity and Health. May 20, 2008.

Murphy, Linda. Special Adviser and Program Coordinator. GHRI. April 22, 2008.

O'Neill, Mary. Communications Officer. CCAA. May 13, 2008.

Peppal, Jennifer. Chief, Public Affairs and Government Relations. July 4, 2008.

Prefontaine, Christine. Senior Communications Adviser. Telecentre.org. May 16, 2008.

Reyes, Wilfredo. Regional Controller. Regional Office for Southeast and East Asia (ASRO). August 8, 2008.

Robertson, Rob. Senior Advisor Law & Development, Innovation, Policy and Science, June 17, 2008.

Salem, Sarwat. Regional Controller. Middle East Regional Office, June 23, 2008.

Schwartz, David. Partnership Officer. Partnership and Business Development. April 24, 2008.

St. Pierre, Daniele. Director, Partnership and Business Development. Apr. 10, 2008.

Surman, Mark. Former telecentre.org Managing Director. May 1, 2008.

Tulus, Frank. Senior Program Officer. Telecentre.org. May 14, 2008.

Wind, Tricia. Senior Program Officer. Evaluation Unit. June 16, 2008.

Zarowsky, Christina. Program Manager, Research for Health Equity. April 24, 2008.

**Total: 45**